

Administration

Employee
Responsibilities

**Conflict of Interest:
Cooperative R&D
Agreements**

POLICY:

- .01 No Laboratory employee shall have a substantial role (including an advisory role) in the preparation, negotiation, or approval of a cooperative research and development agreement (CRADA) if, to such employee's knowledge

Such employee, or the spouse, child, parent, sibling, or partner of such employee, or an organization in which such employee serves as an officer, director, trustee, partner, or employee (a) holds a financial interest in any entity that has a substantial interest in the preparation, negotiation, or approval of the CRADA or (b) receives a gift or gratuity from any entity, other than the Laboratory, that has a substantial interest in the preparation, negotiation, or approval of the CRADA; or

A financial interest in any entity that has a substantial interest in the preparation, negotiation, or approval of the CRADA is held by any person or organization with which such employee is negotiating or has any arrangement about prospective employment.

CERTIFICATION:

- .02 Each employee who has a substantial role (including an advisory role) in the preparation, negotiation, or approval of a CRADA certifies to the Department of Energy (DOE) that the circumstances set forth in .01 above do not apply to him or her.
- .03 Certifications are made through the Office of Industrial Applications (IAO), and the IAO maintains a record of such certifications.

EXCEPTION:

- .04 The requirements of .01 and .02 above do not apply if the employee, as described therein, advises the DOE before such activity commences of such proposed activity and the nature of any financial interest covered by .01 and the DOE determines that such financial interest is not so substantial as to be likely to affect the integrity of the employee's service in the matter.

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- .05 Requests for advance determinations are made through the IAO. The IAO maintains a record of such requests and the DOE disposition with respect to such requests.

DISCIPLINE:

- .06 Failure to obtain necessary approvals and/or to comply with provisions pertaining to CRADA may result in disciplinary action, up to and including termination.